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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. ....09/610,160  
Filing Date .....07/05/2000  
Inventor..... Bruce Horn et al.  
Applicant .....Marketocracy  
Attorney's Docket No. ....MK1-003US  
Title: System and Method for Determining and Tracking Performance Metrics for  
Individual Investors

**INFORMATION DISCLOSURE STATEMENT AND**  
**CERTIFICATION UNDER 37 CFR 1.97(e)**

The citations listed, copies attached, may be material to the examination of the subject application and are therefore submitted in compliance with the duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make these citations of official record in this application.

I hereby certify that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.

Respectfully submitted,

Date: 10-16-2001

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